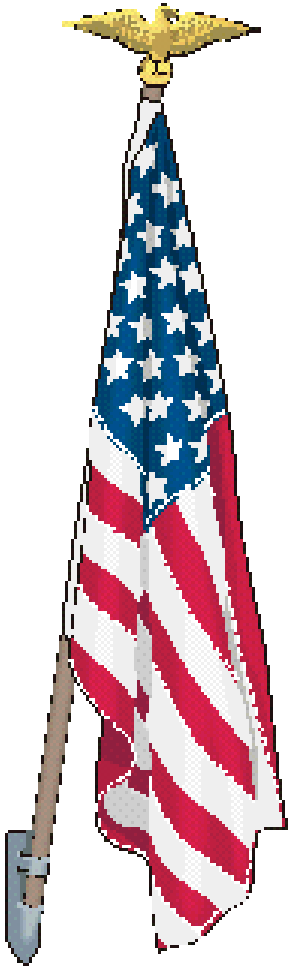
# Department of Energy
# Executive Safety Conference

Coordination and integration of DOE line and independent oversight and contractor self-assessment
Session 1

Milt Johnson, Chair

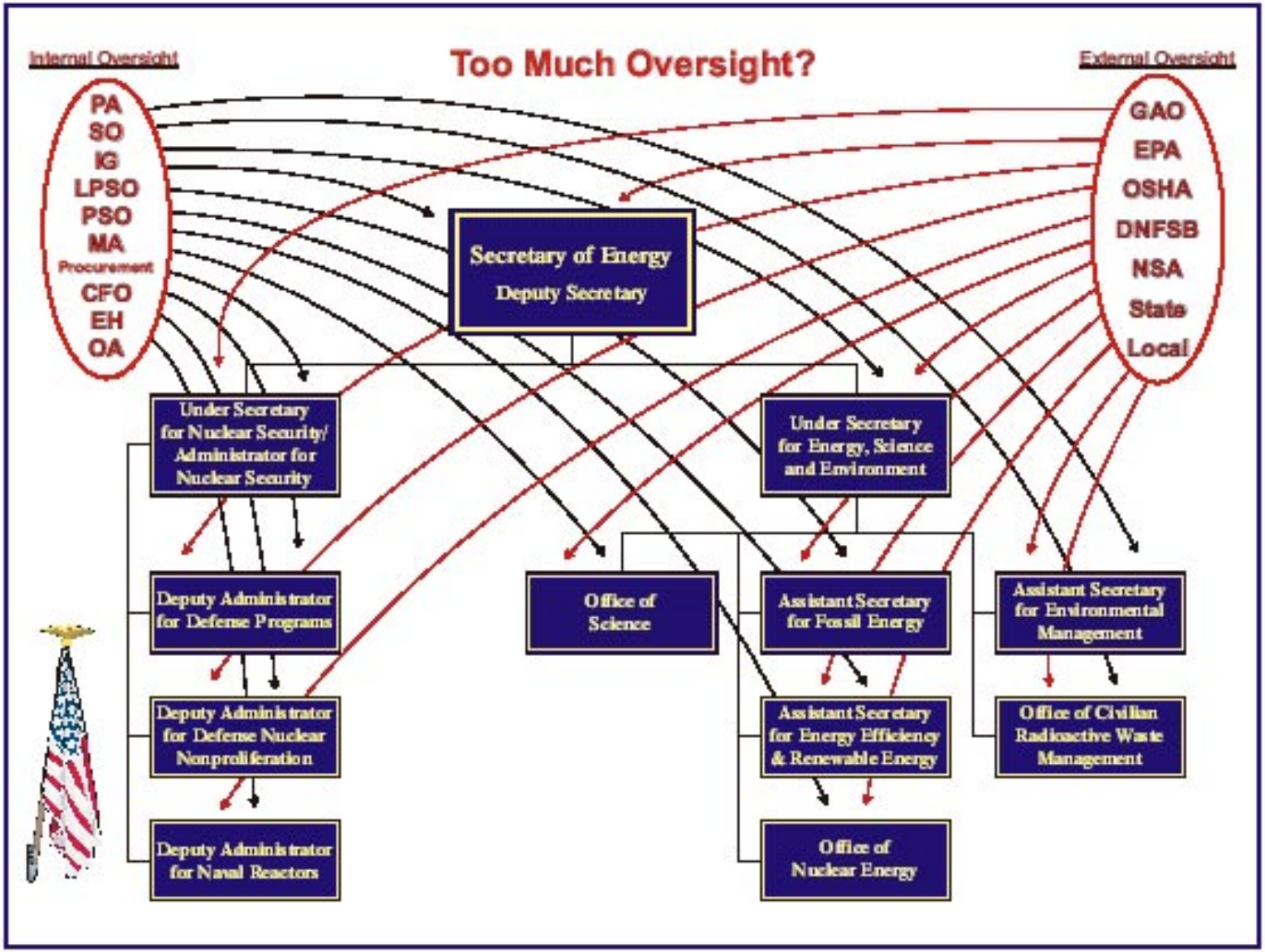
December 11, 2001

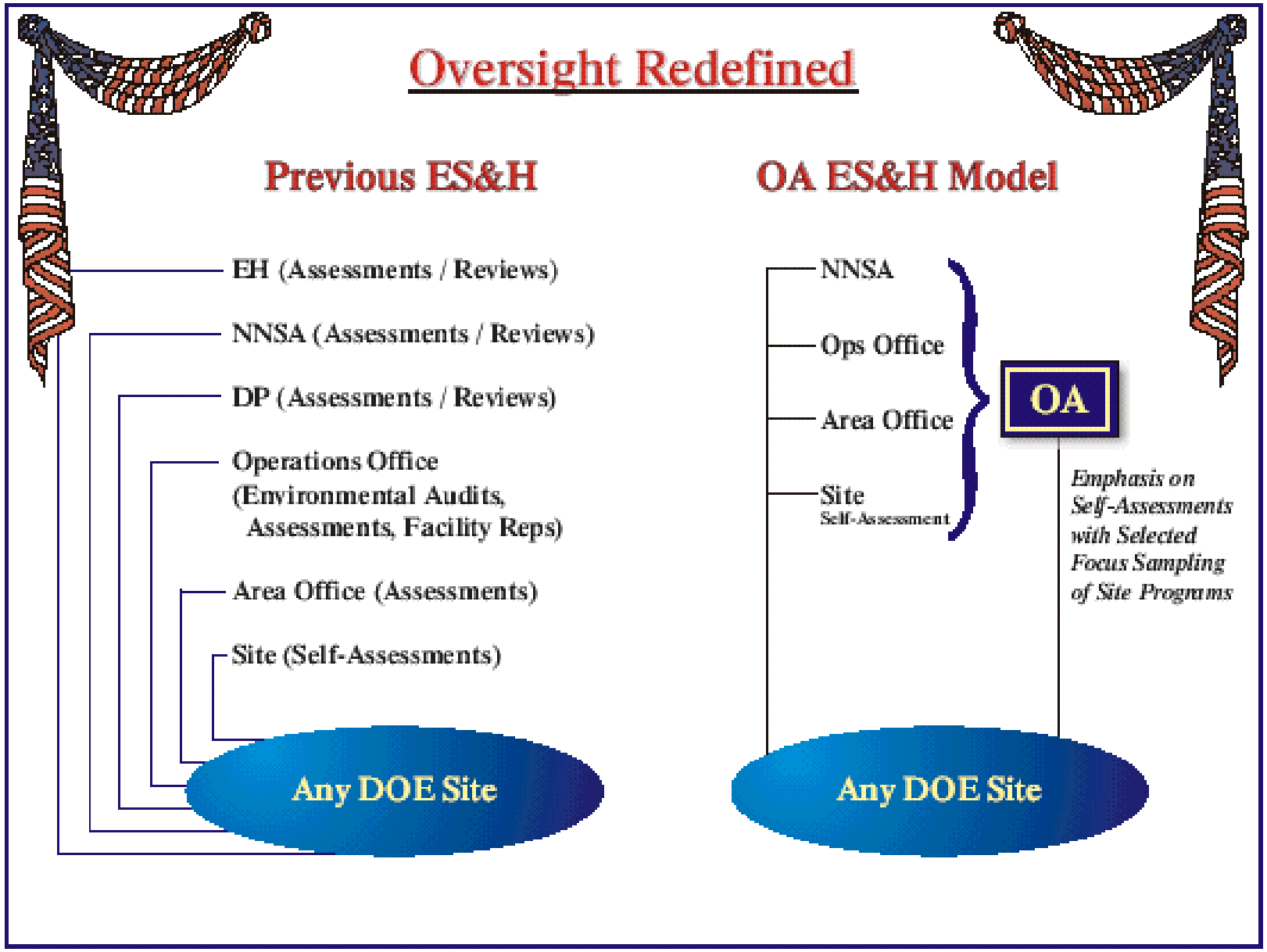


# Reducing Layers and Redundancy in DOE Oversight

*Office of Independent Oversight and Performance Assurance*

*United States Department of Energy*


Too Much Oversight?
Internal Oversight
PA
SO
IG
LPSO
PSO
MA
Procurement
CFO
EH
OA
External Oversight
GAO
EPA
OSHA
DNFSB
NSA
State
Local
Secretary of Energy
Deputy Secretary
Under Secretary for Nuclear Security/ Administrator for Nuclear Security
Under Secretary for Energy, Science and Environment
Deputy Administrator for Defense Programs
Deputy Administrator for Defense Nuclear Nonproliferation
Deputy Administrator for Naval Reactors
Office of Science
Assistant Secretary for Fossil Energy
Assistant Secretary for Energy Efficiency & Renewable Energy
Office of Nuclear Energy
Assistant Secretary for Environmental Management
Office of Civilian Radioactive Waste Management


Oversight Redefined
Previous ES&H
EH (Assessments / Reviews)
NNSA (Assessments / Reviews)
DP (Assessments / Reviews)
Operations Office
(Environmental Audits,
Assessments, Facility Reps)
Area Office (Assessments)
Site (Self-Assessments)
Any DOE Site
OA ES&H Model
NNSA
Ops Office
Area Office
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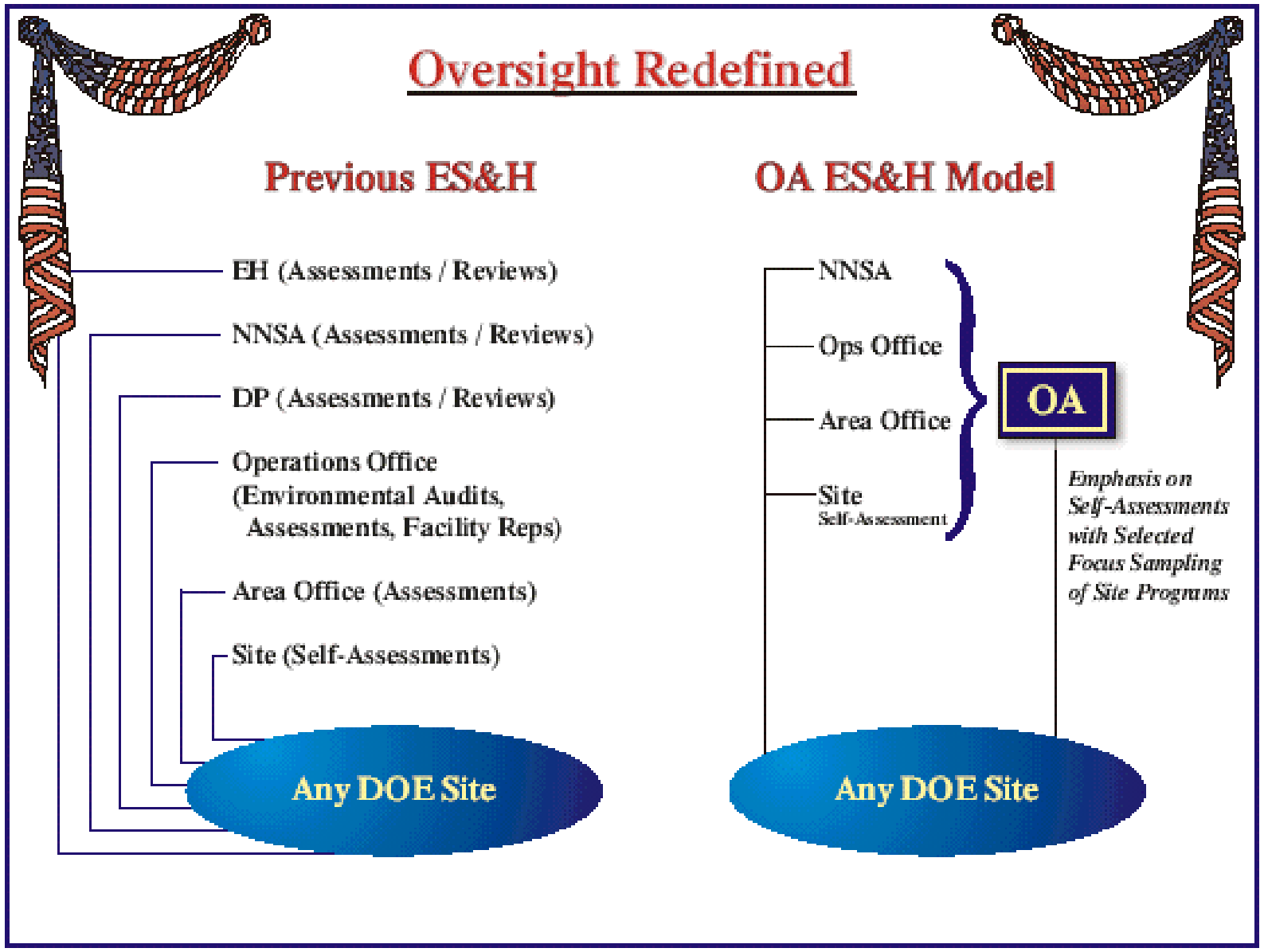
Self-Assessment
OA
Emphasis on
Self-Assessments
with Selected
Focus Sampling
of Site Programs
Any DOE Site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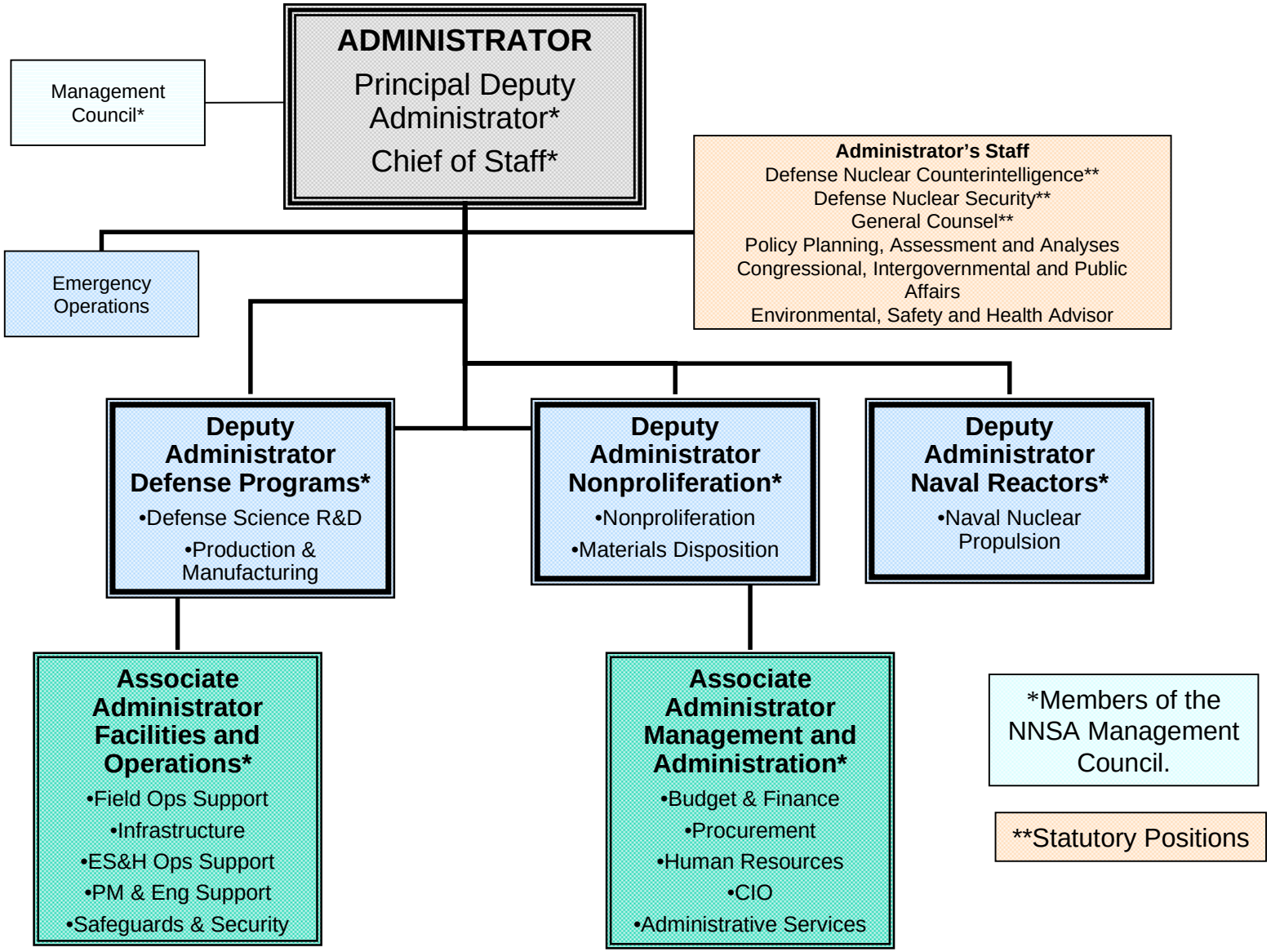
# Line Management Responsibility for Oversight–Implementation

# HQ Line Managers Oversight Responsibilities (DOE P 450.5)

- Monitor field element and contractor performance by review of information received (Para 3.a.).
- Participate in field element appraisals, assessments, surveillances, and walkthroughs of contractor facilities, when appropriate (Para 3.b.).
- Conduct onsite reviews of field element performance, including verification of their appraisals of the contractor, (Para 3.c.).
- For-cause reviews, as necessary (Para 3.d.).


ADMINISTRATOR
Principal Deputy Administrator*
Chief of Staff*
Management Council*
Emergency Operations
Administrator's Staff
Defense Nuclear Counterintelligence**
Defense Nuclear Security**
General Counsel**
Policy Planning, Assessment and Analyses
Congressional, Intergovernmental and Public Affairs
Environmental, Safety and Health Advisor
Deputy Administrator Defense Programs*
•Defense Science R&D
•Production & Manufacturing
Deputy Administrator Nonproliferation*
•Nonproliferation
•Materials Disposition
Deputy Administrator Naval Reactors*
•Naval Nuclear Propulsion
Associate Administrator Facilities and Operations*
•Field Ops Support
•Infrastructure
•ES&H Ops Support
•PM & Eng Support
•Safeguards & Security
Associate Administrator Management and Administration*
•Budget & Finance
•Procurement
•Human Resources
•CIO
•Administrative Services
*Members of the NNSA Management Council.
**Statutory Positions

# HQ On-Site Review of Field Element Performance

- NNSA Protocol supports HQ line management oversight responsibilities of DOE P 450.5 Para 3.c.
- Not a review of contractor.
- Sponsored by the Administrator and conducted by the Director of ES&H Operations Support.
- One week review.
- Up to one week on site to write report/brief managers.

# NNSA Protocol Review Concepts

- Performed every two years at NNSA sites.
- Standards-based/comparable to OA reviews.
- Based on ISMS functions and principles.
- Includes management assessment responsibilities defined in 10 CFR 830 Criterion 9 to ensure integration of QA with safety management.

# NNSA Protocol
# Review Concepts (cont'd)

- Performed by small team (NNSA HQ/NNSA field staff).
- Uses an Individual Review Plan approved by line managers.
- Results tracked and trended.
- Uses experienced Team Leaders (ISMS/ORR/Type A).
- Observations, record reviews, and interviews are major review activities.

# NNSA Protocol
# Review Concepts (cont'd)

- Formal report with grades assigned.
- Administrator issue report and determines need for corrective action.
- Emphasis is on field supervision of contractor.
- Review of contractor's work incidental to review of field element oversight.

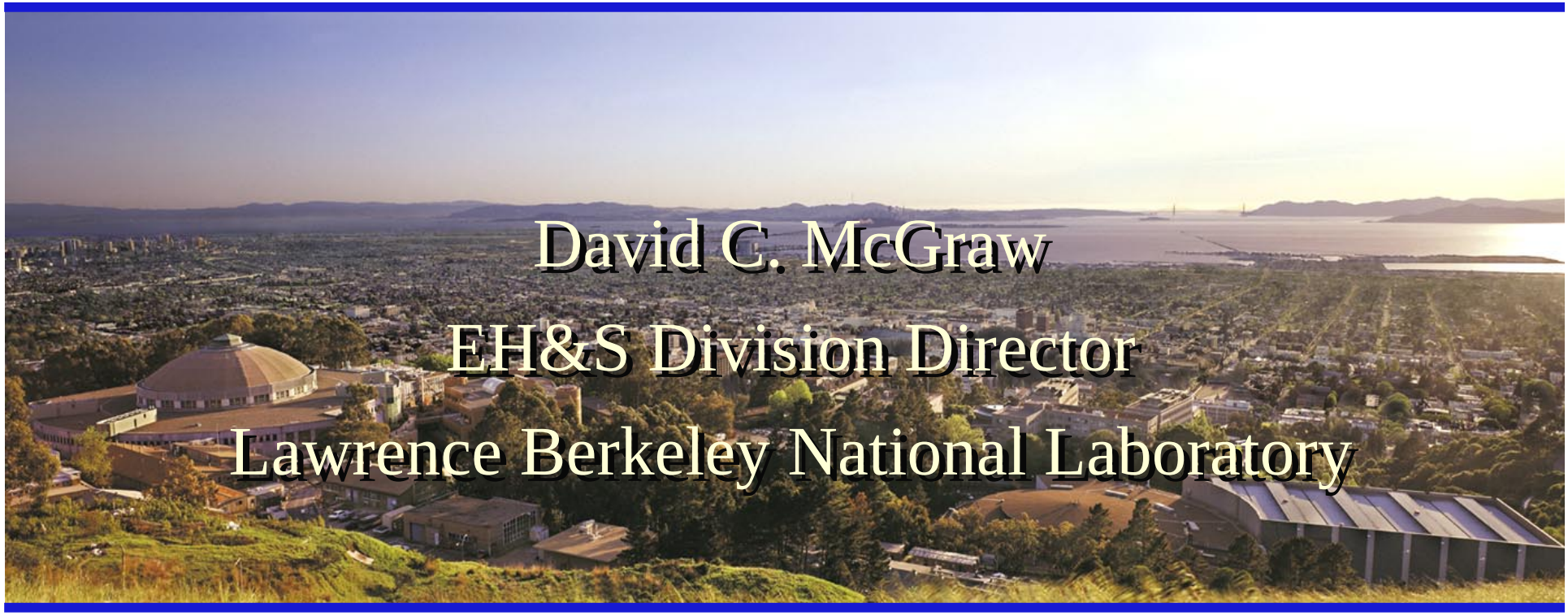
# Coordinating and Integrating Line & Independent Oversight Activities

- OA must preserve its independence.
- Line management and independent oversight reviews should be conducted to similar standards-based criteria.
- Line management oversight, if performed effectively, should result in similar evaluations of safety as those done by OA (no surprises).

# NNSA Efforts to Coordinate and Integrate Line & Independent Oversight Activities

- NNSA review protocol uses standards-based criteria. NNSA has provided these to OA and has requested that NNSA and OA agree to similar criteria for conducting reviews.
- NNSA and OA working on agreement regarding oversight responsibilities and coordination.
- Schedule for next 2 years

# Self-Assessment Program Accreditation




Department of Energy

Executive Safety Council

December 11-12, 2001

# ISM: One Important Ingredient

- A Robust Self-Assessment Plan: One Key to Success – A Berkeley Lab report card

# Sustaining ISM: Self-Assessment

- We believe that results count
- We believe the University of California, as contractor, should manage day-to-day
- As long as business is done ethically, with integrity, all DOE should care about are results

# Sustaining ISM: Self-Assessment

Session 1, Element 3:

- Voluntary accreditation of contractor self-assessment programs

Results Count:

- Have robust measures
  - Legal
  - ISM rubrics
- Ensure contractor addresses those measures in self-assessment plan
- Have robust Operational Awareness program, with site office as focal point
- Have occasional EH/other reviews based on performance – such high-level reviews should look at systems

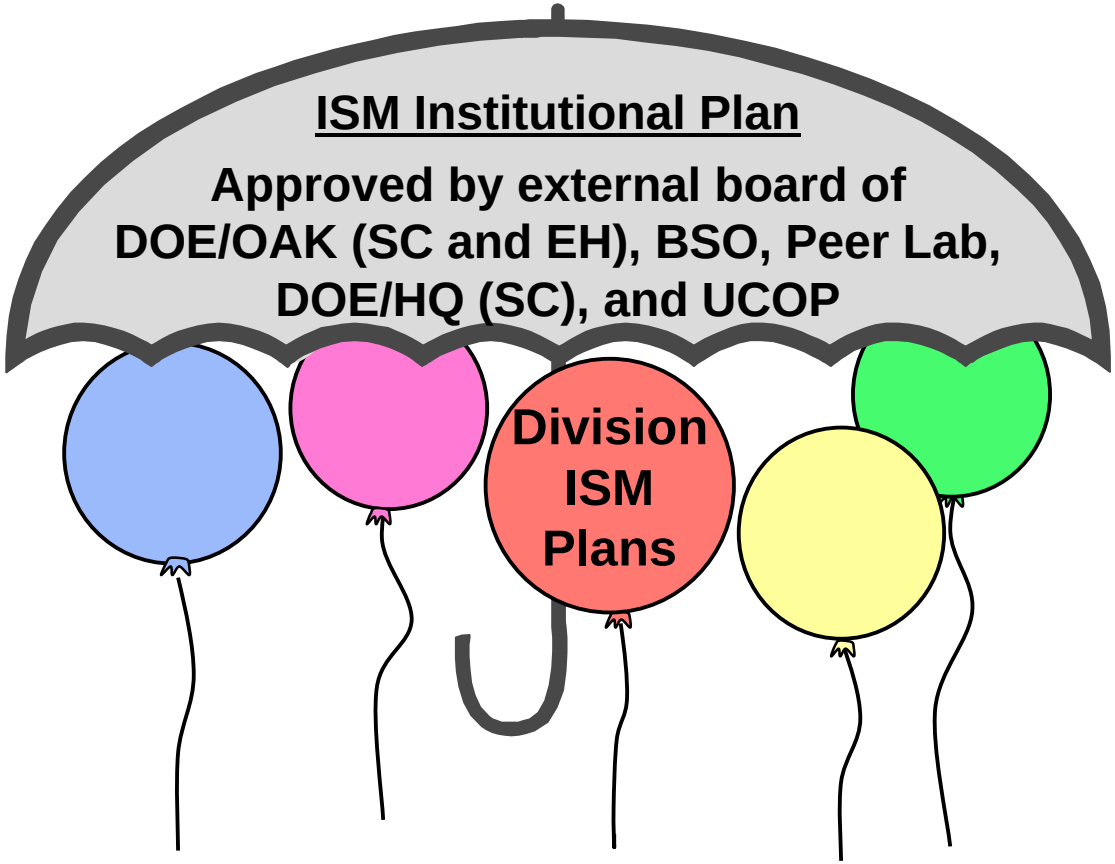
# Sustaining ISM: Precedent in VPP and both EPA and ISO 14001 EMS's

- More responsibility on operator for self-assessment
- Consistent with ISM
  - Line management accountability
  - Worker involvement
  - Breakaway from mere compliance
- Rewards
  - Better ES&H performance
  - Recognition
  - Reduced oversight
- Can work with the right site office – contractor relationship

LBL/BSO model has worked

# ISM Model at Berkeley Lab:

## Have a Master Plan



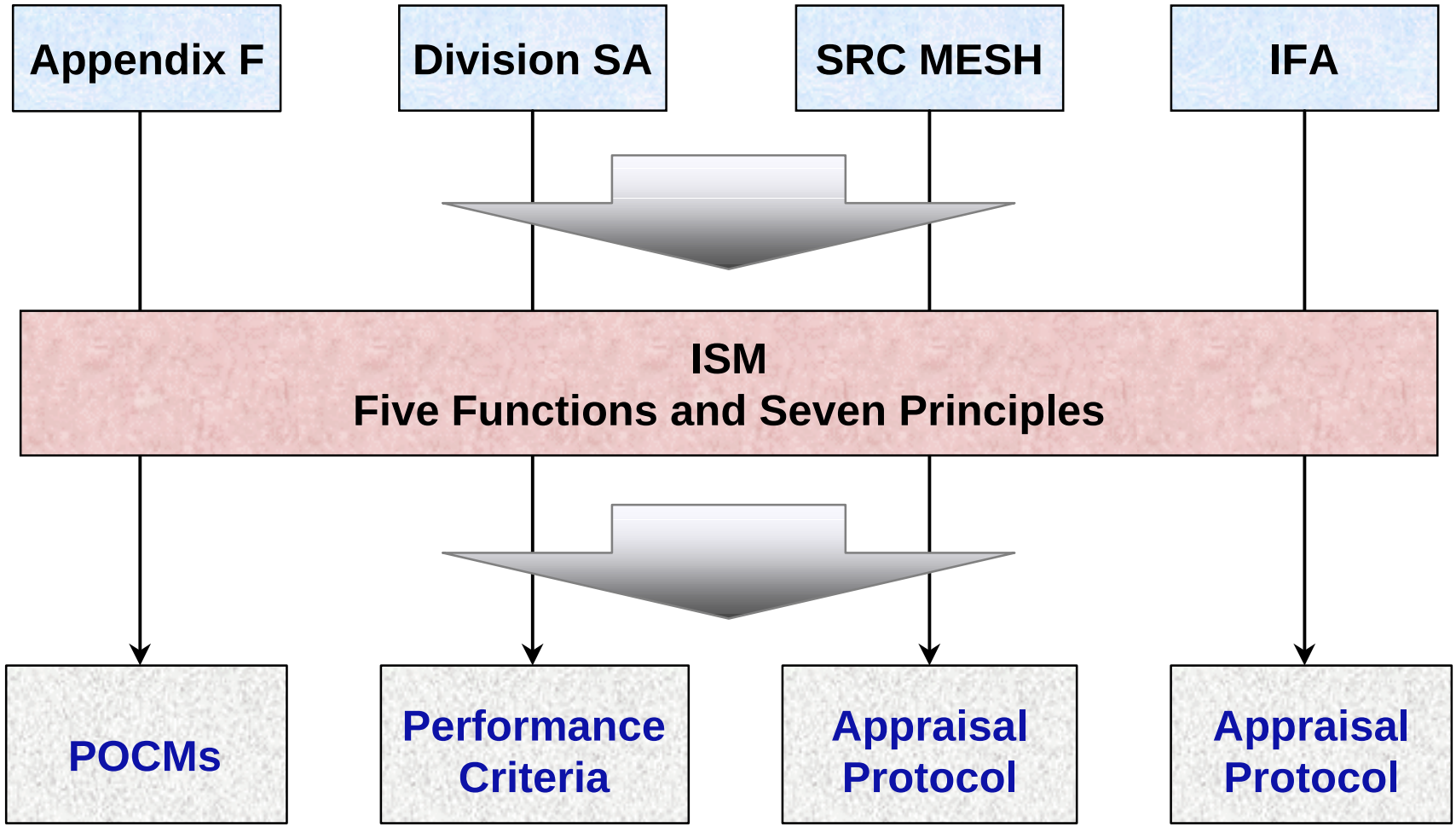

- Reviewed by internal ISM Board (EH&S Director plus two Deputy Lab Directors)
- Division Plans are updated annually and receive Board review triennially

# Sustaining ISM: There Must Be an ISM Master Plan

- Aligning ISM functions and principles to the Lab's four-tiered Self-Assessment system
- Developing and improving leading indicators of ISM
- Refreshing Division ISM Plans
  - » Annual rewrites, new goals, triennial internal ISM Board reviews
  - » MESH (Management of ES&H) review follow-up by Division Directors
  - » Not all divisions have identical measures; tailoring encouraged
- Combination of Leading and Lagging indicators

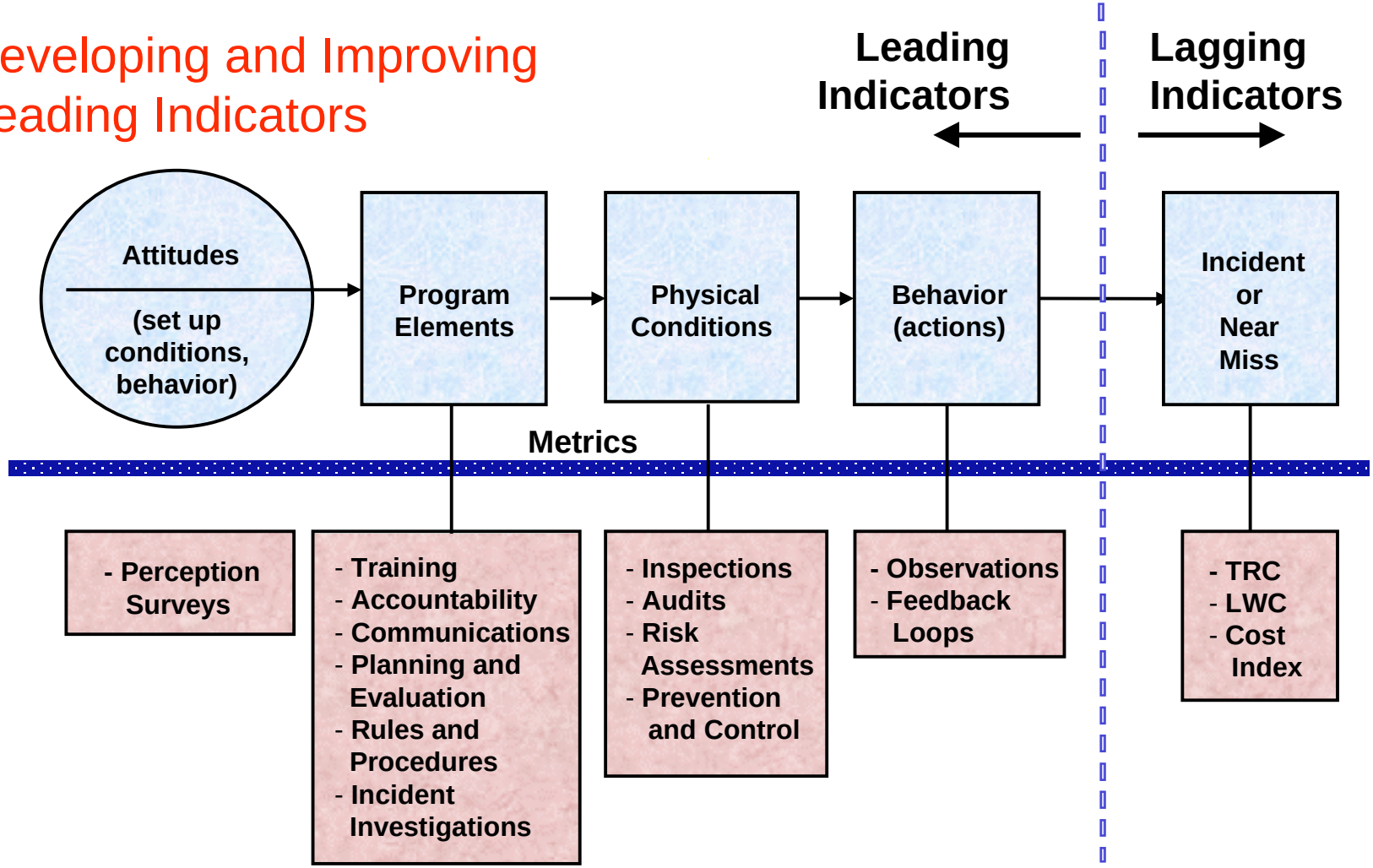
# Sustaining ISM: Self-Assessment Program – Keystone

Self-Assessment Alignment with ISM



# Sustaining ISM: Emphasis on Leading Indicators as ISM Matures

Developing and Improving Leading Indicators



# Sustaining ISM

## How do we know ISM works?

## We measure!

## We create a report card*

The ISM Report Card*

"At-A-Glance"

**There are other report cards (UCOP contract grade, DOE contract grade, EH reviews, Peer reviews)**

# Summary of FY 2000 ES&H Performance (At-A-Glance)

| Criteria | 1 – Define Work | Assessment | Rating |
|---|---|---|---|
| Expectations | Evidence of strong ES&H communication (Y/N) | Yes | |
| | Employees, guests, and visitors accountable for ES&H (Y/N) | Yes | |
| | Evidence that ES&H plan is being implemented (Y/N) | Yes | |
| | Resources and funds adequate for all ES&H issues (Y/N) | Yes | |
| Criteria | 2 – Identify Hazards | Assessment | Rating |
| Expectations | % Work with hazard analysis | 100% | |
| | % Authorized work being reviewed within past 12 months | 100% | |
| | Chemical inventory updated within past 12 months (Y/N) | Yes | |
| Criteria | 3 – Control Hazards | Assessment | Rating |
| Expectations | % Hazard control equipment certified & calibrated | 100% | |
| | Signage and posting updated within past 12 months (Y/N) | Yes | |
| | Active ergonomic training and evaluations (Y/N) | Yes | |

Rating: excellent partial marginal

# Summary (cont.)

| Criteria | 4 – Perform Work | Assessment | Rating |
|---|---|---|---|
| Expectations | % Authorized work without major deficiencies | 100% | |
| | % SAAs in compliance | 100% | |
| | % QA failure rate | 0.58% | |
| | # of NCARS | 1 | |
| | # of ORPS occurrences (3-yr. running avg. – 3.67) | 1 | |
| | Injury and accident case rates (TRC); % improvement | 4.9 TRC;<br>29% improve | |
| | % Job hazard questionnaire | 92% | |
| | % Completion rate of required courses | 88% | |
| | % Completion for emergency response training | 93% (13/14) | |
| | % Hazardous waste reduction | 55.4% | |
| | % Low-level radioactive waste reduction | 29% | |
| | % Mixed waste reduction | 100% | |
| Criteria | 5 – Feedback and Improvement | Assessment | Rating |
| Expectations | % Work space inspected | 100% | |
| | LSAD completed or on schedule | 96% (25/26) | |
| | % L/M participating in assessments (i.e., regular walk-throughs) | 100% group leaders & division director | |
| | Evidence of active safety management group (Y/N) | Yes | |

# FY 1999 Division Self-Assessment Performance

| Criteria | Expectations \ Divisions | AFRD | ALS | Chemical Sciences | Computing Sciences | Directorate | EH&S | Engr | Environ. Energy Technology | ESD | Facilities | LSD | MSD | Nuclear Sciences | Phys Biosci. | Physics | Technical Services | Expectation Score |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | evidence of strong ES&H communication (y/n) | yes | yes | partial | yes | yes | yes | yes | yes | yes | yes | yes | yes | partial | yes | yes | yes | 95.8% |
| | % ES&H in P2R | 100% | 100% | 100% | yes | 100% | 100% | 100% | 100% | 100% | 100% | 100% | partial | yes | 100% | 100% | 100% | 97.9% |
| | evidence that ES&H plan is being implemented (y/n) | yes | yes | yes | partial | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | partial | 95.8% |
| | resources and funds adequate to address all ES&H issues (y/n) | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100% |
| 2 | % work with hazard analysis | 100% | 100% | 100% | partial | na | 100% | partial | 100% | 100% | 100% | 100% | 100% | 80% | 100% | 100% | partial | 91.1% |
| | % authorized work being reviewed within past 12 months | 100% | 100% | 100% | na | na | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% |
| | chemical inventory updated within past 12 months (y/n) | yes | yes | yes | na | na | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100% |
| 3 | % engineering controls certified (i.e., biocabinets, gloveboxes) | na | 100% | 100% | na | na | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | na | 100% | 100% |
| | signage & posting updated within past 12 months (y/n) | yes | yes | yes | partial | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 97.9% |
| 4 | % authorized work w/o major deficiencies | 100% | 100% | 100% | na | na | 86% | 100% | 100% | 100% | 100% | 98% | 100% | 100% | 100% | 100% | 100% | 97.6% |
| | % job hazard questionnaire (JHQ) completed | 100% | 100% | 88% | 73% | 96% | 94% | 100% | 96% | 86% | 100% | 65% | 94% | 91% | 96% | 70% | 100% | 89.6% |
| | % completion rate of required courses | 90% | 91% | 82% | 94% | >90% | 93% | 96% | 76% | 80% | 71% | 78% | 85% | 91% | 82% | 83% | 93% | 83.3% |
| | % completion for emergency response training | 92% | 85% | na | 78% | 96% | 100% | 93% | 44% | 50% | 63% | 70% | 84% | 90% | 82% | partial | 99% | 75.6% |
| | % SAAs in compliance | 80% | 100% | 92% | 100% | na | 98% | 100% | 85% | 93% | 85% | 96% | 84% | 95% | 100% | 100% | 92% | 91.1% |
| | # NCARs or % QA failure rate | 0 | 0 | 0 | na | na | 0 | 2.99% QA fail | 2 NCARs 8% QA fail | 1 NCAR 8.33% QA fail | 3.33% QA fail | 2 NCARs 5.5% QA fail | 3 NCARs 13.8% QA fail | 5.08% QA fail | 3.75% QA fail | 0 | 2.99% QA fail | 78.6% |
| | % hazardous waste reduction | 26.7% | 89% | 3.8% | 40.6% | na | 14% | 58% | 20.9% | 61.4% | waste increase | 21% | waste increase | 27.2% | 32.7% | 46.7% | 16.4% | 95.6% |
| 5 | % work space inspected | 100% | 100% | 100% | 100% | 99% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100.0% |
| | LSAD completion rate | 30% | 70% | 100% | 76% | 100% | 100% | 100% | 80% | 79% | 100% | 100% | 100% | 100% | 100% | 100% | 99% | 87.5% |
| | L/M participating in assessment (i.e., regular walthroughs) (y/n) | yes | yes | yes | yes | yes | yes | yes | yes | partial | partial | partial | yes | yes | yes | yes | yes | 93.8% |
| | evidence of active safety management group (y/n) | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | partial | yes | yes | yes | 97.9% |
| | Division Score | 94.7% | 96.7% | 94.7% | 86.7% | 100.0% | 98.3% | 98% | 88.3% | 86.7% | 91.7% | 90.0% | 88.3% | 93.3% | 96.7% | 94.7% | 96.7% | 93.5% |

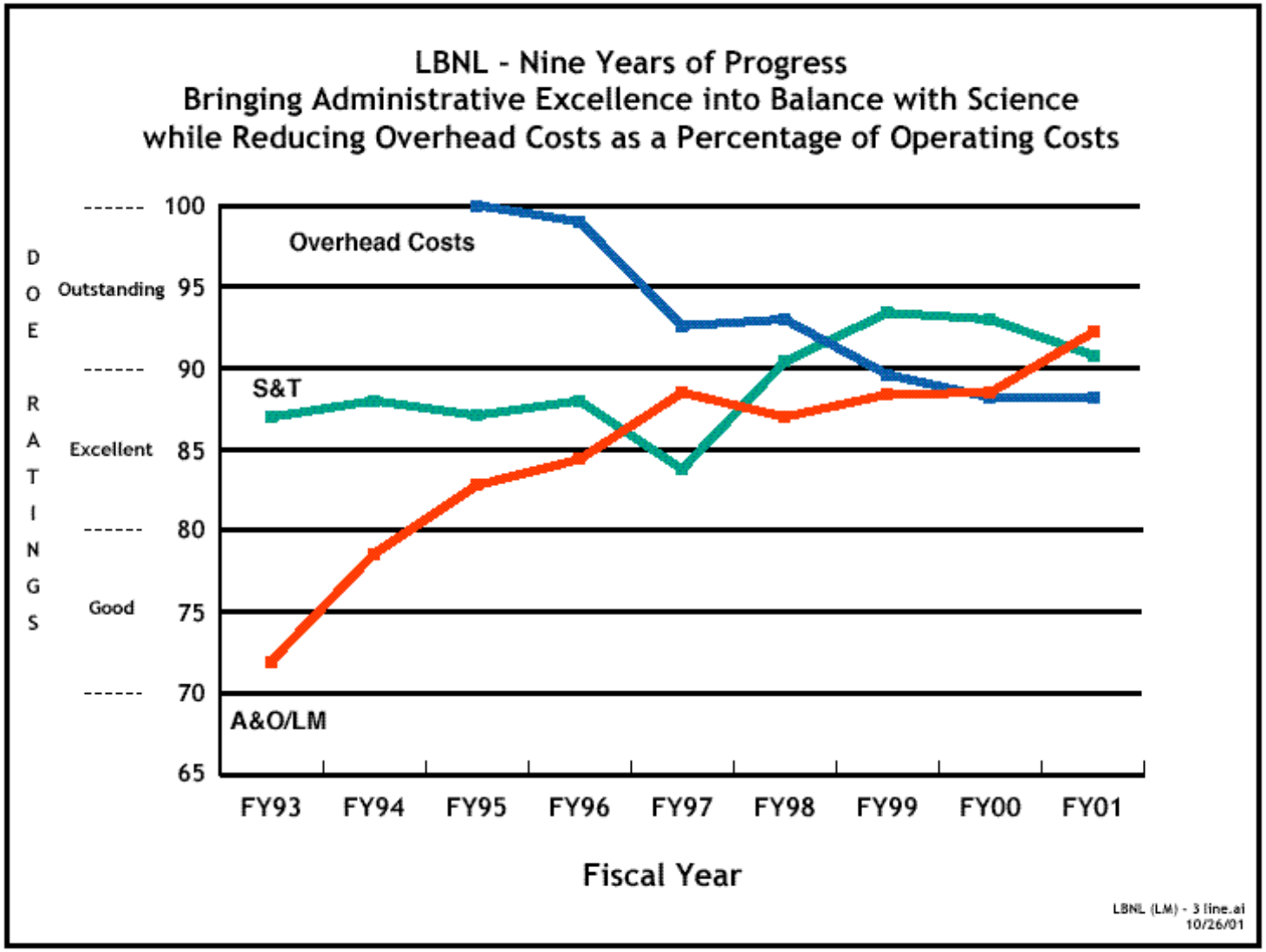
# FY 2000 Division Self-Assessment Performance

| Criteria | Divisions / Expectations | AFRD | ALS | Chemical Sciences | Computing Sciences | Directorate | EH&S | Engr | Environ. Energy Tech | ESD | Facilities | LSD | MSD | Nuclear Sciences | Phys Biosci. | Physics | Production Sequence Facility | Expectation Score |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Evidence of strong ES&H communication (y/n) | yes | yes | yes | yes | yes | yes | yes | yes | partial | yes | yes | yes | yes | yes | yes | yes | 97.9% |
| | Employees, guests & visitors accountable for ES&H (y/n) | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100.0% |
| | Evidence that ES&H plan is being implemented (y/n) | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100.0% |
| | Resources and funds adequate to address all ES&H issues (y/n) | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100.0% |
| 2 | % Work with hazard analysis | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100.0% |
| | % Authorized work being reviewed within past 12 months | 100% | 100% | 100% | NA | NA | 100% | 100% | 100% | 100% | NA | 100% | 100% | 100% | 100% | 100% | NA | 100.0% |
| | Chemical inventory updated within past 12 months (y/n) | yes | yes | yes | NA | NA | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100.0% |
| 3 | % Engineering controls certified & calibrated | 100% | 100% | 100% | NA | NA | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100.0% |
| | Signage & posting updated within past 12 months (y/n) | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100.0% |
| | Active ergonomics training and evaluations (y/n) | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100.0% |
| 4 | % Authorized work w/o major deficiencies | 100% | 100% | 100% | NA | NA | 100% | 100% | 100% | 100% | NA | 95% | 100% | 100% | 100% | 100% | NA | 100.0% |
| | % SAAs in compliance | 100% | 100% | 96% | 100% | NA | 100% | 97% | 97% | 97% | 92% | 95% | 79% | 94% | 90% | 100% | 100% | 97.8% |
| | % QA failure rate | 0.0% | 22.2% | 3.1% | 0.0% | NA | 0.6% | 4.4% | 7.7% | 8.3% | 0.0% | 3.3% | 7.3% | 0.0% | 4.3% | 0.0% | NA | 95.2% |
| | # NCARS | 0 | 0 | 0 | 0 | NA | 1 | 1 | 0 | 0 | 0 | 1 | 1 | 0 | 0 | 0 | NA | 81.0% |
| | # ORPS occurrences | 1 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 5 | 1 | 0 | 2 | 0 | 0 | 1 | 91.7% |
| | Injury & accident case rates (TRC) | 1.3 | 2.0 | 1.6 | 1.75 | 3.1 | 4.9; 29% improve | 1.3 | 0.9 | 4.2 | 9.6 | 2.9 | 1.2 | 0 | 4.0 | 2.2 | 13.1 | 81.3% |
| | % Job hazard questionnaire (JHQ) completed | 94% | >85% | 91% | 93% | 91% | 92% | 98% | 93% | 86% | 94% | 95% | 92% | 91% | 93% | 78% | 95% | 97.9% |
| | % Completion of required courses | 89% | >85% | 92% | 89% | 93% | 88% | 95% | 87% | 86% | 83% | 94% | 96% | 93% | 90% | 78% | 88% | 95.8% |
| | % Completion for emergency response training | 86% | 93% | 100% | 92% | 100% | 93% | 90% | 88% | 72% | 54% | 66% | 75% | 100% | 96% | 100% | 50% | 85.4% |
| | % Waste reduction (haz., rad., & mixed) | 70.6% | waste increase | 9.7% | 15.5% | NA | 55.8% | 45.7% | 39.4% | 35.4% | 52.0% | 34.3% | 76.9% | 0.5% | 68.0% | waste increase | NA | 95.2% |
| 5 | % work space inspected | 100% | 100% | 100% | 100% | 99% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100.0% |
| | L/M participating in assessment (i.e., regular walthroughs) (y/n) | partial | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 97.9% |
| | LSAD completion or on-schedule | 88% | 90% | 93% | 95% | 100% | 96% | 100% | 94% | 100% | 92% | 100% | 100% | 100% | 87% | 100% | 100% | 100.0% |
| | evidence of active safety management group (y/n) | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100.0% |
| | Division Score | 98.6% | 95.8% | 100.0% | 100.0% | 97.9% | 97.2% | 97.2% | 100.0% | 94.4% | 89.4% | 94.4% | 94.4% | 97.2% | 98.6% | 95.8% | 93.0% | 96.5% |

# FY 2001 Division Self-Assessment Performance

| Criteria | Expectations \ Divisions | AFRD | ALS | Chemical Sciences | Computing Sciences | Directorate | EH&S | Engr | Environ. Energy Tech | ESD | Facilities | LSD | MSD | Nuclear Sciences | Phys Biosci. | Physics | PGF | Expectation Score |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Evidence of strong ES&H communication | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | partial | yes | yes | yes | yes | 97.9% |
| | Employees and participating accountabl for ES&H | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100% |
| | ISM Plan is reviewed and updated annually | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100% |
| | Resources and funds adequate to address all ES&H issues | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100% |
| 2 | % formal authorizations and self-authorized work reviewed within require schedule | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% |
| | Chemical inventory updated within past 12 months | yes | yes | yes | NA | NA | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100% |
| 3 | % Engineering controls certified & calibrated | 100% | 100% | 100% | NA | NA | >97% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% |
| | Emergency contact information updated within past 12 months | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100% |
| | Evidence of effective ergonomics program | yes | yes | yes | yes | yes | yes | yes | yes | partial | yes | yes | yes | yes | yes | yes | yes | 97.9% |
| 4 | % Authorized work w/o major deficiencies | 100% | 100% | >90% | NA | NA | 100% | 100% | 100% | 100% | NA | 86% | 100% | 100% | 100% | 100% | NA | 97.2% |
| | % SAAs (incl. MWSAAs, RWCAs) in compliance | 100% | 100% | 97% | NA | NA | 91% | 100% | 98% | 83% | 92% | 96% | 88% | 91% | 100% | 100% | 83% | 95.2% |
| | % QA compliance rate | 100% | 100% | 97.8% | NA | NA | 98.6% | 100% | 95.5% | 97.5% | 100% | 96.4% | 92.9% | 100% | 100% | 100% | 100% | 97.6% |
| | # NCARS | 0 | 0 | 1 "Type 1" | NA | NA | 0 | 0 | 0 | 0 | 0 | 0 | 7 | 0 | 1 | 0 | 0 | 88.1% |
| | Injury & accident case rates (TRC) | 0.0 | 1.6 | 2.9 | 2.7 | 2.8 | 1.7 | 2.7 | 0.9 | 5.8 | 6.7 imp. 30% | 0.7 | 0.5 | 0.0 | 1.6 | 1.0 | 3.7 imp. 72% | 87.5% |
| | % Job hazard questionnaire (JHQ) completed | 92% | 98% | 91% | 87% | 96% | 89% | 98% | 93% | 86% | 75% | 95% | 97% | 93% | 94% | 88% | 90% | 97.9% |
| | % Completion rate of required courses | 91% | 95% | 90% | 93% | 94% | 88% | 95% | 86% | 90% | 94% | 94% | 97% | 89% | 92% | 86% | 63% | 97.9% |
| | % Completion for emergency response training | 100% | 93% | 100% | 97% | 87% | 100% | 85% | 88% | 89% | 88% | 92% | 93% | 100% | 79% | 100% | 100% | 97.9% |
| | Waste reduction (haz., rad., & mixed) | partial | yes | yes | yes | NA | yes | yes | yes | NA | yes | yes | yes | yes | yes | yes | NA | 97.4% |
| 5 | % work space inspected | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 96% | 100% | 100% | 100% | 90% | 100% | 100% | 100% | 100% |
| | L/M participating in assessment (i.e., regular walthroughs) | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | partial | 97.9% |
| | LSAD completion rate | 80% | 97% | 100% | 90% | 100% | 96% | 97% | 99% | 100% | 100% | 100% | 78% | 82% | 100% | 90% | no system | 89.6% |
| | evidence of active safety management group | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | yes | 100% |
| | Division Score | 97.0% | 100% | 97.0% | 97.9% | 97.8% | 100% | 98.5% | 100% | 93.7% | 98.4% | 98.5% | 92.4% | 98.5% | 95.5% | 100% | 91.7% | 97.3% |

# Berkeley Lab – Nine Years of Progress



# Sustaining ISM: Another Important Ingredient – Operational Awareness*

Berkeley Lab works closely with Site Office:

- Joint development of ISM performance measures
  - ISM process measure and leading indicators
  - Outcome measures
- Each site office ES&H SME has a plan
  - Focuses on attitudes and behaviors
  - Outcomes
  - ISM rubrics
- Berkeley Site Office Director and senior Lab management (division directors and Lab directors) walk-throughs

*This approach fosters mutual values and trust which could be mirrored in contract terms and conditions

# Sustaining ISM:
# The Next Step – Best Practices

What can Best Practices bring to DOE Laboratory Management and Operations?

- Science quality
- Support service quality, effectiveness, efficiency
- Operational stability and consistency
- DOE management and contractor accountability

A “Best Practices” contract?

# Operations Mission Statement

To provide effective and efficient operational support to the scientific mission of the Laboratory.

# Operations Vision

Berkeley Lab will be the best place in the world to conduct scientific research. Our effective and efficient infrastructure, systems, engineering, and health & safety programs will be world class.

We will be part of a unified Laboratory, where the full contribution of every individual is expected, respected and recognized. Working across organizational boundaries, we will develop new synergies that deliver effective innovative solutions. We will appreciate and benefit from our diversity. Our environment will be rich with opportunities and we will be challenged to grow to our fullest potential.

We will have constructive relationships with and be trusted by our sponsors, neighbors and collaborators. We will cultivate relationships with competence, integrity and openness. Our partnerships will open new opportunities to serve our communities, the nation, and the world.

# EH&S Vision

The Berkeley Lab is an internationally renowned research facility and a national treasure. It requires a world class EH&S organization that works as a partner with the Laboratory's research and development divisions/departments to provide cost-effective, customer-focused services that enable the creation of world class science. To be world class, EH&S staff must have the same *dedication, professionalism, integrity, and intellectual curiosity* as the researchers who established Berkeley Lab's scientific reputation.

# EH&S Charter

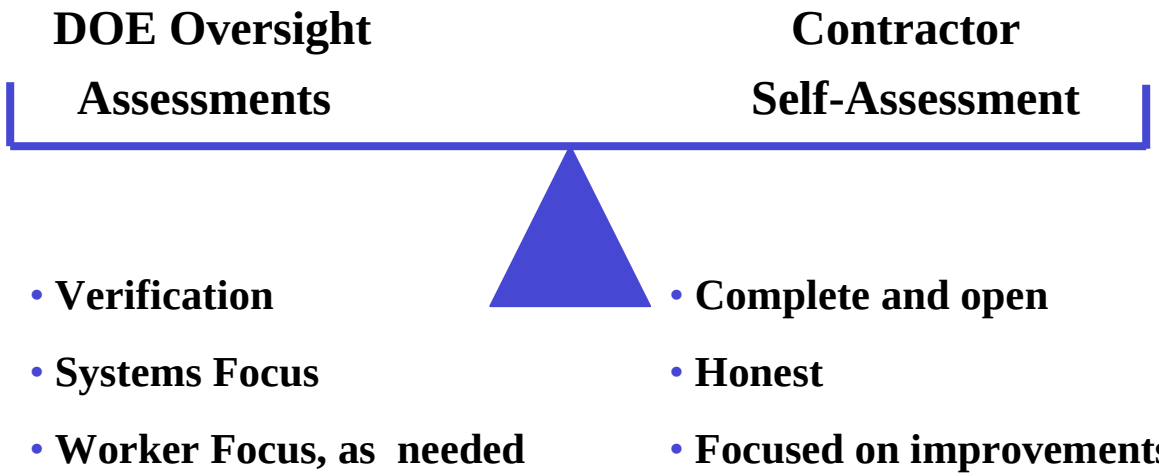
Chapter 2, Health and Safety Manual

The primary objective of the Environment, Health & Safety (EH&S) Division is to promote the protection of workers, the public, and our environment by providing professional and technical expertise, follow-on services, and integrated ES&H policy to the Lab's research and support programs.

- The EH&S Division supports and acts as a partner with line management as it meets direct responsibilities to ensure that protection of workers, the public, and the environment is integrated into the primary research and support functions of each division or unit.
- Of equal importance, the EH&S Division supports and provides expertise directly to each Lab worker who seeks ES&H advice and help, or who voices a concern.

# FOCUSING DOE OVERSIGHT
*or*
# ACHIEVING BALANCE OF OVERSIGHT ACTIVITIES
*or*
# TRUST BUT VERIFY

- **NEED**
- **BENEFITS**
- **EXPERIENCES**
- **CHALLENGES**



# FOCUSING DOE OVERSIGHT

- **NEED:**

**Provide clear accountability for contractors**

- **DOE sets expectations**
- **Contractor determines how to do the work**
- **Focus on performance and outcomes**

**Justify and defend incentive fees and evaluations**

**Use resources more effectively**

## FOCUSING DOE OVERSIGHT

- **BENEFITS:**
  - **Integrated Safety Management becomes "the norm"**
  - **Federal employees perform value-added activities**
  - **Teamwork improves**
  - **Culture of openness emerges**
  - **Public trust improves**

# FOCUSING DOE OVERSIGHT

- **EXPERIENCES:**
  - **ORO moved toward reliance on self assessment processes prematurely**
    - **adequate systems not in place**
    - **staff not ready**
    - **documentation weak**
  - **Two ISM verifications revoked with plans to strengthen, improve, and validate**
  - **Standards Based Management System**
  - **improvement initiatives underway**

# FOCUSING DOE OVERSIGHT

## EXPERIENCES (Continued):

- Facility Representatives provide essential day-to-day review
- Coordination of reviews essential:
  - multiple programs
  - multiple contractors
  - multiple locations
  - constrained resources

# FOCUSING DOE OVERSIGHT

- **CHALLENGES:**
  - **Contractor transitions, changing cultures**
  - **Roles and Responsibilities of federal staff changing**
    - **history of compliance audits**
    - **culture changes**
  - **Availability of skills and subject-matter experts**
    - **encourage mobility**
  - **Subcontractor layers**
    - **flow down of requirements**
    - **oversight inadequate**
    - **communication more difficult**

# FOCUSING DOE OVERSIGHT

## CHALLENGES (Continued):

- Need for direct oversight of workers continues
  - Facility Representatives
  - Accident investigations
  - Management walkthroughs
  - Focused, for cause, reviews

# Session 1, Element 4

"Focusing DOE Oversight on Contractor Self-Assessment and Performance Indicators Versus Direct Oversight of Workers"

Ken Powers

# Formulas for How Contractors Should Behave and Help DOE to do the "Right Thing"

- F/P + A/A = T
- T + CC = AR/O

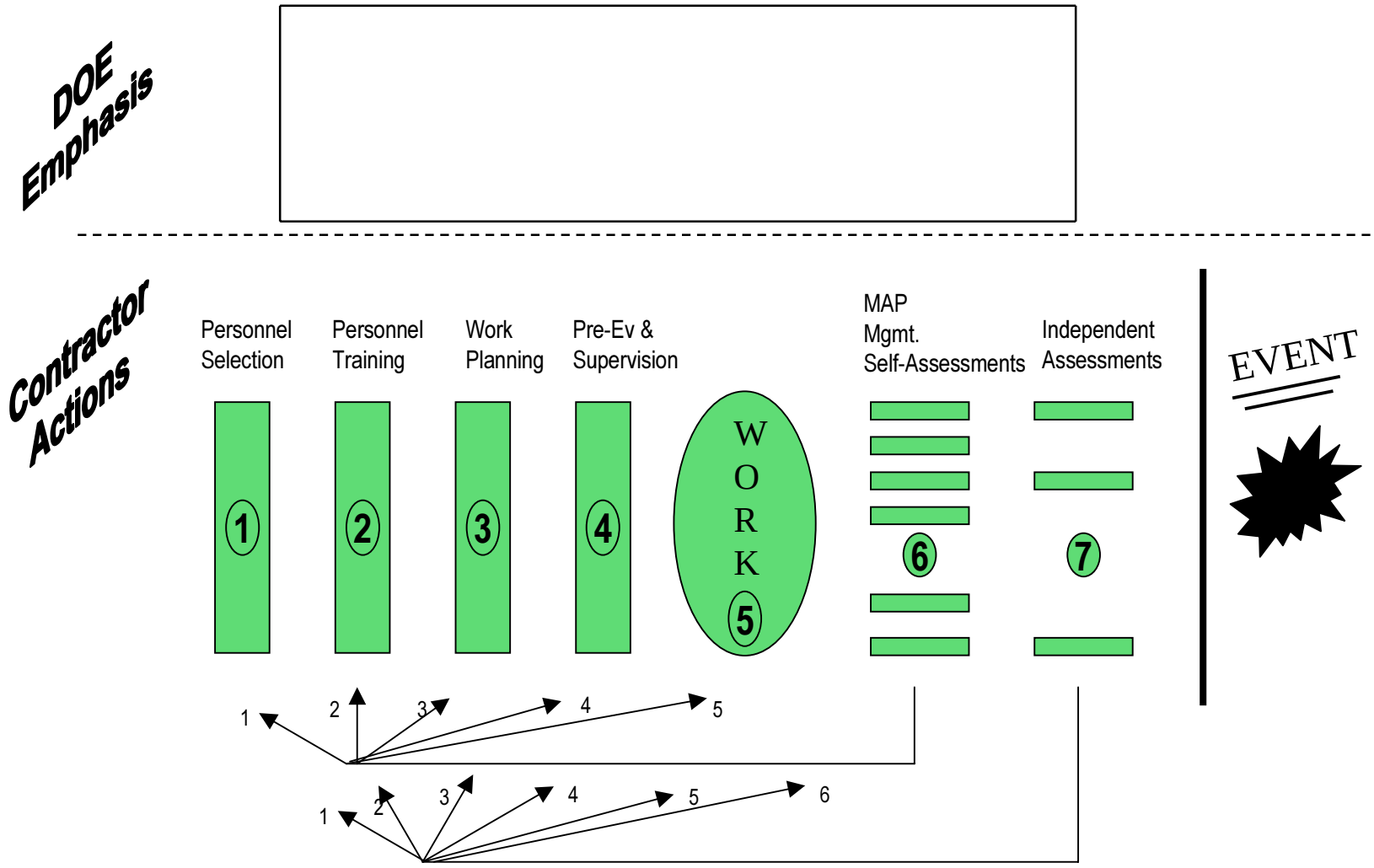
# Key for "Contractor Trust" Formula

- Facts/Perspective + Accountability/Actions = Trust

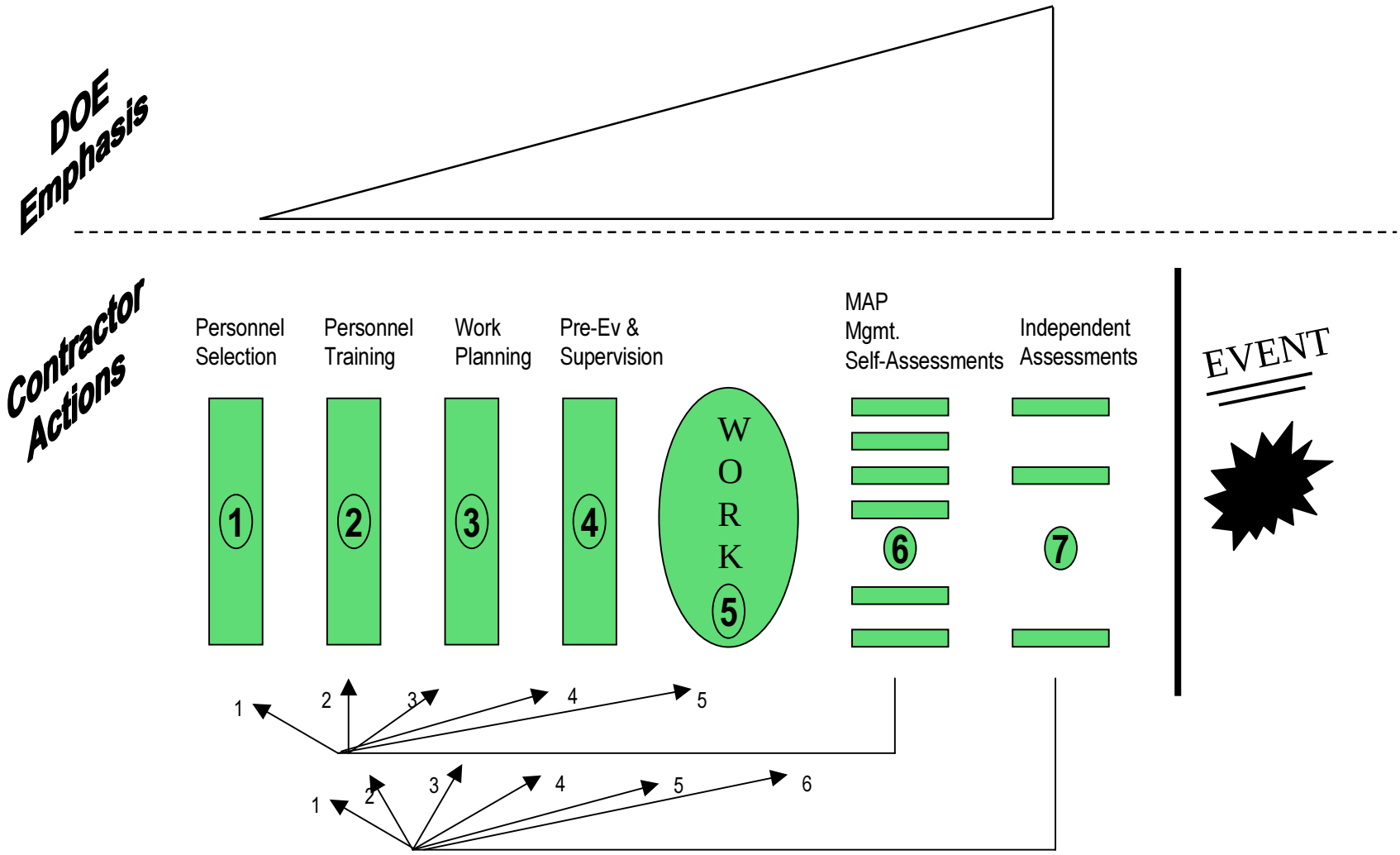
# Key for "DOE Response"

- Trust + Constant Communication = Appropriate Level of DOE Requirements/Oversight

# Safety Philosophy (w/o Trust)



# Safety Philosophy (with Trust)



# Metrics - What is Measured - Gets Improved!

- Need many - tie to work
- Keep evolving
- Level of seriousness
- Develop "Rate of Occurrence"
- Common sense
- Take action based on data

# Contractor Safety Lessons

- We have not invented any new or exotic ways to make mistakes. Most are rooted in the mundane: planning, supervision, personnel performance, attention to detail.
- Resist the "Assessment Reflex": more independent oversight is not the answer, push self-assessments by line organizations.
- Focus improvement efforts on factors that can prevent problems: personnel selection and training, sound procedures, good planning, thorough pre-ev briefs and good supervision.
- Engage appropriate management in reviewing problems, identifying trends, initiating actions, and follow-up on corrective action effectiveness.
- Face your trends, and deal with them.
- Maintain free information flow.